

PTO/SB/21 (08-03)

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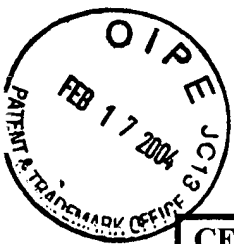
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/652,008
	Filing Date	August 28, 2003
	First Named Inventor	Kevin M. Tresenriter
	Art Unit	3624
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	412327

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO 1449 Certificate of Mailing Return Post Card
Remarks		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	James M. Stipek	
Signature		
Date	February 17, 2004	

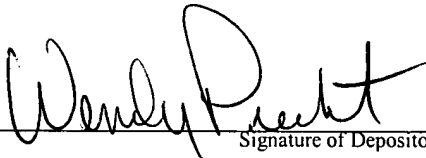
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Typed or printed name	Wendy Precht		
Signature		Date	February 17, 2004

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2/18/04

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Matter No.
Applicant(s): Kevin M. Tresenriter			412327
Serial No.	Filing Date	Examiner	Group Art Unit
10/652,008	August 28, 2003	Not Yet Assigned	3624
Invention: System and Method for Making Trades			
I hereby certify that this Transmittal Form (1 page); Information Disclosure Statement (2 pages); Form PTO 1449 (2 pages); authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 17th day of February, 2004.			
<div>Wendy Precht Name of Depositor</div>			
<div> Signature of Depositor</div>			
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PATENT
Attorney Docket No. 412327
Express Mail Label No. EL 927874205 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	Kevin M. Tresenriter	Examiner	Not Yet Assigned
Serial No.	10/652,008	Group Art No.	3624
Filed	August 28, 2003		
For	System and Method for Making Trades		

February 17, 2004

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application, or date of entry of national application, or before mailing date of first office action on the merits, whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, which ever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of issue fee)

☐ Applicant(s) submit herewith Form PTO 1449 – Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☒ This Application was filed after June 30, 2003. Therefore, Applicant(s) submit(s) herewith Form PTO 1449 – Information Disclosure Citation without copies of U.S. patents or U.S. publications, but includes copies of foreign patents, publications or other information of which Applicant(s) is/are aware, which applicant(s) believe(s) may be material to the examination of the application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

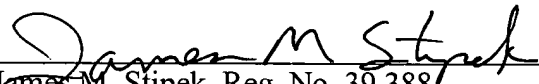
☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449,

as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counter part foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith

It is requested that the information disclosed herein be made of record in this application

Respectfully submitted,

LATHROP & GAGE LLC


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